



Docket No: AM100305
Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re of Application of: Anita W-Y. Chan
Application No.: 10/016,229 Group Art No.: 1624
Filed: November 2, 2001 Examiner: B. Coleman
For: PROCESS FOR THE PREPARATION OF 1, 2, 3, 4, 8, 9, 10, 10a-
OCTAHYDRO-7bH-CYCLOPENTA[b][1, 4]DIAZEPINO- [6, 7, 1-hi]
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Confirmation No.: 9006
Customer Number: 25291

Commissioner for Patents
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In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

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November 20, 2003
Date

Paula L. Dickey
Paula L. Dickey

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This Information Disclosure Statement

- a. ☐ is filed within three months of the filing date of the application.
- b. ☒ is filed before the mailing date of a first Office Action on the merits.
- c. ☐ is filed before the mailing date of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- d. ☐ is filed after the period specified in 2(a), 2(b) or 2(c) above, but before the mailing date of a final action under 37 CFR 1.311. This statement includes a certification under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p).
- e. ☐ is filed after the mailing date of a final action or Notice of Allowance but before payment of the issue fee. This statement includes (i) a certification under 37 CFR 1.97(e), and (ii) the fee set forth in 37 CFR 1.17(p).

3. ☐ Certification under 37 CFR 1.97(e) and 1.704(d)
The undersigned attorney certifies

- a. ☐ that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or
- b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the statement.
- c. ☐ The undersigned attorney certifies that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign application patent office in a counterpart foreign application and was not received by any individual designated in 37 CFR 1.56(c) more than thirty (30) days prior to the filing of the statement.

- ☒ Newly Cited Information
A legible copy of the patents, publications or other information cited on the attached form PTO 1449 is enclosed, except that if this patent application was filed or entered the national stage after June 30, 2003, no copy of a U.S. patent or U.S. patent application publication is enclosed.

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No copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed because it has been previously cited by or submitted to the Office in a prior application which is relied upon for an earlier filing date under 35 USC 120.

Prior application is Application Number _____, filed on _____ of _____ for _____

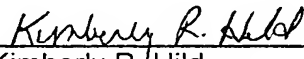
- ☐ Concise Explanation
Documents cited above which are not in the English Language
- a. ☐ have been explained in the specification.
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Form PTO-1449 is enclosed in duplicate.

- ☐ Fees
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT
(use as many sheets as necessary)

Complete if Known

Application Number	10/016,229
Filing Date	November 2, 2001
First Named Inventor	Anita W-Y. Chan
Group Art Unit	1624
Examiner Name	B. Coleman
Attorney Docket Number	AM100305

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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number (If known)	Kind Code (If Known)			
	1.	2002/0062022	A1	American Home Products Corp.	05-23-2002	
	2.	2002/0058689	A1	American Home Products Corp.	05-16-2002	
	3.	2002/0055630	A1	American Home Products Corp.	05-09-2002	
	4.	2002/0128261	A1	American Home Products Corp.	09-12-2002	
	5.	2002/0119966	A1	American Home Products Corp.	08-29-2002	
	6.	2002/0086860	A1	American Home Products Corp.	07-04-2002	
	7.	2002/0107242	A1	American Home Products Corp.	08-08-2002	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (If Known)				
	8.	WO	02/08186		Marc Labelle et al.	01-31-2002		<input type="checkbox"/>
	9.	WO	00/35922		Annmari L. Sabb et al.	06-22-2000		
	10.	WO	96/29316		Peter De Boer et al.	09-26-1996		

OTHER PRIOR ART — NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	11.	D. KIM, J. Heterocyclic Chem., 13, 1187-1192 (1976)	<input type="checkbox"/>
	12.	S. ARCHER et al., J. Am. Chem. Soc., 79, 5783-5785 (1957)	
	13.	L. ZHANG et al., Tetrahedron Letters, 36(46), 8387-8390 (1995)	
	14.	G.E. STOKKER, Tetrahedron Letters, 37(31), 5453-5456 (1996)	
	15.	CUADRO et al., Synthetic Communications, 21(4), 535-544 (1991)	
	16.	W. PERKIN et al., J. Chem. Soc., 123, 3242-3247 (1923)	
	17.	H. BOOTH et al., J. Chem. Soc., 158, 2302-2311 (1958)	

Examiner Signature	Date Considered
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